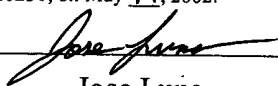




PATENT  
Docket No. 524622000100

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Jose Luna

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TC 1700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Eng Shi ONG et al.

Serial No.: 09/991,151

Filing Date: November 16, 2001

For: PRESSURIZED LIQUID EXTRACTION  
METHOD AND APPARATUS

Examiner: To be assigned

Group Art Unit: 1723

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.


The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to

charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 524622000100. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: May 17, 2002

Respectfully submitted,

By:   
Kawai Lau  
Registration No. 44,461

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Suite 500  
San Diego, California 92130-2332  
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Facsimile: (858) 720-5125

Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 524622000100

Application Number 09/994,131

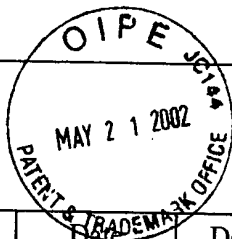
Applicant

Eng Shi ONG et al.

Filing Date November 16, 2001

Group Art Unit 1723

Mailing Date May 17, 2002



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TC 1700

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	03/1992	5,094,741	Frank et al.	210	198.2	
	2.	07/1992	5,133,859	Frank et al.	210	198.2	
	3.	08/1993	5,240,603	Frank et al.	210	198.2	
	4.	06/1994	5,322,626	Frank et al.	210	634	
	5.	08/1997	5,660,727	Gleave et al.	210	141	
	6.	07/1998	5,785,856	Gleave et al.	210	634	
	7.	12/1998	5,843,311	Richter et al.	210	634	
	8.	12/1999	6,001,256	Hawthorne et al.	210	643	
	9.	08/2000	6,111,108	Lopez-Avila & Benedicto.	546	48	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	10.	11/1990	0485668A1	EP			
	11.	06/1993	FR2706166	France			
	12.	09/1995	1,336,968	Canada			

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	13.	Benthin et al. "Pressurized Liquid Extraction of Medicinal Plants" Journal of Chromatography A (1999) 837:211-219
	14.	Bjorklund et al. "Pressurised Liquid Extraction of Persistent Organic Pollutants in Environmental Analysis" Trends in Analytical Chemistry (2000) 19(7):434-445
	15.	Chen et al. "Analysis of Coptisine, Berberine and Palmatine in Adulterated Chinese Medicine by Capillary Electrophoresis-Electrospray Ion Trap Mass Spectrometry" Journal of Chromatography A (2000) 866:273-280

EXAMINER:

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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

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Docket Number 524622000100

Application Number 09/991,153

Applicant

Eng Shi ONG et al.

Filing Date November 16, 2001

Group Art Unit 1723

Mailing Date May 17, 2002

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| 16. | Dionex Application Note 335 (2000) Dionex Corporation: Sunnyvale, CA   |
| 17. | Ezzell et al. "A Comparison of Accelerated Solvent Extraction with Conventional Solvent Extraction for Organophosphorus Pesticides and Herbicides" LCGC (1995) 13(5):390-398   |
| 18. | Hawthorne et al. "Comparisons of Soxhlet Extraction, Pressurized Liquid Extraction, Supercritical Fluid Extraction and Subcritical Water Extraction for Environmental Solids: Recovery, Selectivity and Effects on Sample Matrix" Journal of Chromatography A (2000) 892:421-433 |
| 19. | Ji et al. "Determination of the Alkaloid Content in Different Parts of Some <i>Mahonia</i> Plants by HPCE" Pharmaceutica Acta Helvetiae (2000) 74:387-391  |
| 20. | Jimenez-Carmona. "Comparison of Continuous Subcritical Water Extraction and Hydrodistillation of Marjoram Essential Oil" Journal of Chromatography A (1999) 855:625-632  |
| 21. | Kelly et al. "Investigation into the Effects of Sample Dissolving Solvents and Sample Matrices on the Separation Obtained in Capillary Electrophoresis- Part I FSCE" Journal of High Resolution Chromatography (1998) 21:193-196   |
| 22. | Kelly et al. "Investigation into the Effects of Sample Dissolving Solvents and Sample Matrices on the Separations Obtained in Capillary Electrophoresis- Part II. MECC" Journal of High Resolution Chromatography (1999) 22:55-58  |
| 23. | Kubatova et al. "Comparison of Subcritical Water and Organic Solvents for Extracting Kava Lactones from Kava Root" Journal of Chromatography A (2001) 923:187-194  |
| 24. | Li et al. "Characterization of 10 Species of <i>Mahonia</i> by Capillary Electrophoresis" Chromatographia (2000) 51(5/6):357-361   |
| 25. | Liebich et al. "Analysis of Traditional Chinese Anticancer Drugs by Capillary Electrophoresis" Journal of Chromatography A (1998) 795:388-393  |
| 26. | Liu et al. "Determination of Coptisine, Berberine and Palmatine in Traditional Chinese Medicinal Preparations by Capillary Electrophoresis" Journal of Chromatography (1993) 639:323-328   |
| 27. | Luque de Castro. "Towards More Rational Techniques for the Isolation of Valuable Essential Oils from Plants" Trends in Analytical Chemistry (1999) 18(11):708-716  |
| 28. | Macnaughton et al. "Rapid Extraction of Lipid Biomarkers from Pure Culture and Environmental Samples Using Pressurized Accelerated Hot Solvent Extraction" Journal of Microbiological Methods (1997) 31:19-27  |
| 29. | Miller et al. "Solubility of Liquid Organic Flavor and Fragrance Compounds in Subcritical (Hot/Liquid) Water from 298 K to 473 K" Journal of Chemical and Engineering Data (2000) 45:315-318   |
| 30. | Ong et al. "Pressurized Liquid Extraction of Berberine and Aristolochic Acids in Medicinal Plants" Journal of Chromatography A (2000) 313:57-64  |
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Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

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MAY 2 1 2002

Docket Number 524622000100

Application Number 09/991,151

Applicant

Eng Shi ONG et al.

Filing Date November 16, 2001

Group Art Unit 1723

Mailing Date May 17, 2002

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|-----|---|
| 32. | Ong et al. "Determination of Berberine and Strychnine in Medicinal Plants and Herbal Preparations by Pressurized Liquid Extraction with Capillary Zone Electrophoresis" Electrophoresis (2001) 22:2723-2729 |
| 33. | Richter et al. "Accelerated Solvent Extraction: A Technique for Sample Preparation" Analytical Chemistry (1996) 68:1033-1039  |
| 34. | Richter. "The Extraction of Analytes from Solid Samples Using Accelerated Solvent Extraction" Current Trends and Developments in Sample Preparation (1999) 17(6s):22-28                                     |
| 35. | Richter. "Extraction of Hydrocarbon Contamination from Soils Using Accelerated Solvent Extraction" Journal of Chromatography A (2000) 874:217-224   |
| 36. | Richter et al. "New Environmental Applications of Accelerated Solvent Extraction" LCGC (2000) 18(10):1068-1073  |
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| 39. | Schnitzer et al. "Organic Matter Extraction from Soils with Water at High Pressure and Temperatures" Soil Science Society of America Journal (1991) 55:102-108  |

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# TRANSMITTAL FORM

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Total Number Of Pages In This Submission

7

Application Number

09/991,151

Filing Date

November 16, 2001

First Named Inventor

E. S. ONG

Group Art Unit

1723

Examiner Name

To be assigned

Attorney Docket No.

524622000100

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## ENCLOSURES (check all that apply)

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Remarks

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